

Substitute Form PTO-1449 (Modified)  <b>Information Disclosure Statement          by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 09857-044001	Application No. 09/841,661
	Applicant John Delta and Donald Botic			
	Filing Date April 24, 2001		Group Art Unit	

**U.S. Patent Documents**

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

**Foreign Patent Documents or Published Foreign Patent Applications**

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document
	AQ	"Special Study: ECNs and After-hours Trading" retrieved from the U.S. Securities and Exchange Commission website <URL: <a href="http://www.sec.gov/news/studies/ecnafter.htm">http://www.sec.gov/news/studies/ecnafter.htm</a> > on 7/22/2007, document was published in June 2000.
	AR	Nasdaq's website on "Index Descriptions" retrieved from <a href="http://quotes.nasdaq.com/references/indexDescriptions.stm">http://quotes.nasdaq.com/references/indexDescriptions.stm</a> on 7/22/2007.
	AS	Nasdaq's website on "NASDAQ-100 After Hours IndicatorSM" retrieved from <URL: <a href="http://dynamic.nasdaq.com/dynamic/nasdaq100_indicator_after.stm">http://dynamic.nasdaq.com/dynamic/nasdaq100_indicator_after.stm</a> > on 7/22/2007.
	AT	Hansard et al., "This Dinner Theater Features Tragedies," Investment News, vol. 5, no. 13, page 2, April 2, 2001.

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

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Examiner Initial	Desig. ID	Document
	AU	Office Action and Reply filed in Serial No. 09/941,491.

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